

CERTIFICATE OF EXPRESS MAILING UNDER 37 C.F.R. §1.10

I hereby certify that this correspondence, along with any paper referred to as being attached or enclosed, is being mailed via "Express Mail Post Office to Addressee" service of the United States Postal Service (Express Mail No. EL 989 436 006 US) on September 5, 2003 in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By: Kim A. Cabello
Kim A. Cabello

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

REQUEST FOR FILING APPLICATION

Under Rule 53(a), (b) & (f)

(No Filing Fee or Oath/Declaration)

(Do NOT use for Provisional or PCT Applications)

Use for Design or Utility Applications

PATENT
APPLICATION

RULE 53(f) NO DECLARATION

Mail Stop Patent Application
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Atty. Dkt. P 044182
M#

305880
Client R f

Date: September 5, 2003

Sir:

1. This is a Request for filing a new Patent Application (☐ Design ☒ Utility) entitled:

2. (Complete) Title: SUBSTRATE HOLDER

without a filing fee or Oath/Declaration but for which is enclosed the following:

3. ☒ Abstract 1 page(s).

4. 13 Pages of Specification (only spec. and claims); 5. ☐ Specification in non-English language

6. 20 Numbered claim(s); and

7. ☒ Drawings: 4 sheet(s) ☐ 1 set informal; 8. ☒ formal of size: ☐ A4 ☒ 11"

9. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) <u>60/408,804</u>	<u>09-06-02</u>	(2)	
(3)		(4)	

10. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		<input type="checkbox"/> See 3 rd page for additional priorities	

11. (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date)
in U.S. Application No. / filed on

12. ☐ This is a reissue of Patent No.

13. ☐ See top first page re prior Provisional, National, International application(s) (X box only if info is there and do not complete corresponding item 14 or 15.)

14. ☐ **Amend the specification** by inserting before the first line -- This is a ☐ Continuation-in-Part
☐ Divisional ☐ Continuation ☐ Substitute Application (MPEP 201.09) of:

14(a) ☐ National Appln. No. / filed . - - (M#)
14(b) ☐ International Appln. No. PCT/ filed which
designated the U.S., and that International Application ☐ was ☐ was not published
under PCT Article 21(2) in English.--

15. ☐ **Amend th specification** by inserting before the first line: --This application claims the benefit of U.S. Provisional Application No. 60/_____, filed _____.
16. Extension to date: ☐ concurrently filed ☐ not needed ☐ previously filed
17. ☒ Small Entity Status is claimed (pre-filing confirmation r quir d)
- 17(a) ☒ Attached: 1 (No.) Small Entity Statement(s). (Since 9/8/00 Small Entity Statement not essential to make claim)
- 17(b) ☐ See **NONPUBLICATION REQUEST** under Rule 213(a) attached (PAT-258)
18. ☐ Prior application is assigned to _____

by Assignment recorded _____ Reel _____ Frame _____

19. ☒ **Attached: New Application Cover Sheet; and Return Postcard**

20. This application is made by the following named inventor(s) (Double check instructions for accuracy.):
(Listing of inventor(s) not a requirement, but list if known)

(1) Inventor	Steven	S.	Reese
	First	Middle Initial	Family Name
Residence	Issaquah	Washington	U.S.A.
	City	State/Foreign Country	Country of Citizenship
Mailing Address			
(include Zip Code)			

(2) Inventor	Peter	C.	Lombrozo
	First	Middle Initial	Family Name
Residence	Issaquah	Washington	U.S.A.
	City	State/Foreign Country	Country of Citizenship
Mailing Address			
(include Zip Code)			

(3) Inventor	James	A.	Roecker
	First	Middle Initial	Family Name
Residence	Issaquah	Washington	U.S.A.
	City	State/Foreign Country	Country of Citizenship
Mailing Address			
(include Zip Code)			

(4) Inventor	Paul	C.	Goodwin
	First	Middle Initial	Family Name
Residence	Issaquah	Washington	U.S.A.
	City	State/Foreign Country	Country of Citizenship
Mailing Address			
(include Zip Code)			

21. NOTE: FOR ADDITIONAL INVENTORS, check box ☐
and attach sheet with same information regarding additional inventors.

Pillsbury Winthrop LLP
Intellectual Property Group

11682 El Camino Real., Suite 200
San Diego, CA 92130-2092
Tel: (619) 234-5000
Atty/Sec: VJC/kac

By: Atty: Victor J. Castellucci
Sig: *Vala Chellam*

Reg. No. 43,535

Fax: (858) 509-4010
Tel: (858) 509-4007

NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments

Inventor(s): Steven S. REESE; Peter C. LOMBROZO; (Atty. Dkt.
James A. ROECKER; and Paul C. GOODWIN
Appln. No.: To Be Assigned or Patent No.: 044182-305880
Filed: September 5, 2003 or Issued.: M# / Client Ref.
Title: SUBSTRATE HOLDER

SMALL ENTITY STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(d) and 1.27 (c)) - **SMALL BUSINESS CONCERN**

I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern or empowered to act on behalf of the concern identified below:

NAME OF CONCERN Applied Precision, LLC

ADDRESS OF CONCERN 1040 12th Avenue N.W., Issaquah, Washington 98027-8929

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention **entitled:** SUBSTRATE HOLDER
by inventor(s) Steven S. REESE; Peter C. LOMBROZO; James A. ROECKER; and Paul C. GOODWIN described in

x → ☒ the specification filed herewith,
on → ☐ Application No. _____, filed
box → ☐ Patent No. ___, issued

If the rights held by the above identified small business concern are not exclusive, each small entity individual, concern or organization having rights to the invention is listed in (A) and (B) below and no rights to the invention are held by any person, other than the inventor, who could not qualify under 37 CFR 1.9(c) as an independent inventor if that person had made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

(A) FULL NAME of assignee/licensee/grantee/conveyee* Applied Precision, LLC
ADDRESS 1040 12th Avenue N.W., Issaquah, Washington 98027-8929
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

(B) FULL NAME of assignee/licensee/grantee/conveyee*
ADDRESS
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

*NOTE: Separate statement is required from each person, concern or organization named in (A) and (B) above having rights to the invention, averring to his/her/its status as a small entity. (37 CFR 1.27)

I acknowledge the duty to file, in this case, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Victor J. Castellucci
TITLE OF PERSON OTHER THAN OWNER Attorney for Applicant
ADDRESS OF PERSON SIGNING 11682 El Camino Real, Suite 200, San Diego, California 92130

SIGNATURE Victor J. Castellucci Reg. No. 43,535 DATE 09-05-03

APPLICATION UNDER UNITED STATES PATENT LAWS

Atty. Dkt. No. PW 044182-305880

(M#)

Invention: SUBSTRATE HOLDER

Inventor(s): Steven S. REESE; Peter C. LOMBROZO; James A. ROECKER and Paul C. GOODWIN

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Dated: September 5, 2003

By:

Kim A. Cabello
Kim A. Cabello

Pillsbury Winthrop LLP
Intellectual Property Group
11682 El Camino Real
Suite 200
San Diego, CA 92130

Tel: (619) 234-5000

This is a:

- ☐ Provisional Application
- ☒ Regular Utility Application
- ☐ Continuing Application
 - ☐ The contents of the parent are incorporated by reference
- ☐ PCT National Phase Application
- ☐ Design Application
- ☐ Reissue Application
- ☐ Plant Application
- ☐ Substitute Specification
 - Sub. Spec Filed _____
 - in App. No. _____ / _____
- ☐ Marked up Specification re
 - Sub. Spec. filed _____
 - In App. No. _____ / _____

SPECIFICATION